

OCT 21 2002

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Attorney's Docket No.: 09857-092001
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom et al. Art Unit : Unknown
Serial No. : 10/077,182 Examiner : Unknown
Filed : February 15, 2002
Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

BOX MISSING PARTS

Commissioner for Patents
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application under 37 U.S.C. §1.53(b) mailed March 14, 2002 (copy enclosed), applicant as a large entity submits herewith the following:

- Payment of the basic filing fee of \$740;
- Payment of the surcharge of \$130 for late filing of the basic filing fee and/or declaration;
- A check in the total amount of \$870 is attached;
- A Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63;
- Petition for Five Month Extension of Time w/accompanying fee.

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

October 15, 2002

Date of Deposit

Marie Collins

Signature

Marie Collins

Typed or Printed Name of Person Signing Certificate

Applicant : Steven M. Bloom et al.
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Respectfully submitted,

Date: 10/15/02

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 UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/077,182	02/15/2002	Steven M. Bloom	09857-092001

 CONFIRMATION NO. 9522
 FORMALITIES LETTER

DENIS G. MALONEY
 Fish & Richardson P.C.
 225 Franklin Street
 Boston, MA 02110-2804



OC000000007633699

Date Mailed: 03/14/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 870.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/23/2002 NM0HMM1 00000118 10077182

 01 FC:1001
 02 FC:1051

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